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PTO/SB/05 (03-01)

Approved for use through 10/31/2002. OMB 0651-0032

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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**UTILITY  
PATENT APPLICATION  
TRANSMITTAL**

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.

013883-000001

First Inventor

Hallenbeck, Peter D.

Title

DISTRIBUTED, PACKET-BASED PREMISES AUTOMATION  
SYSTEM

Express Mail Label No.

EV 056839674US

**APPLICATION ELEMENTS**

SEE MPEP chapter 600 concerning utility patent application contents.

**ADDRESS TO:**Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)
2. ☒ Applicant claims small entity status.  
See 37 CFR 1.27
3. ☒ Specification [Total Pages: **60**]  
(preferred arrangement set forth below)  
-Descriptive title of the invention  
-Cross Reference to Related Applications  
-Statement Regarding Fed sponsored R & D  
-Reference to sequence listing, a table,  
or a computer program listing appendix  
-Background of the Invention  
-Brief Summary of the Invention  
-Brief Description of the Drawings (if filed)  
-Detailed Description  
-Claim(s)  
-Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Pages: **11**]
5. Oath or Declaration [Total Pages: **2**]  
a. ☒ Newly executed (original or copy)  
b. ☐ Copy from a prior application (37 CFR 1.63 (d))  
(for continuation/divisional with Box 18 completed)  
i. ☐ **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s)  
Named in the prior application, see 37 CFR  
1.63(d)(2) and 1.33(b)
6. ☐ Application Data Sheet See 37 CFR 1.76

7. ☐ CD-ROM or CD-R in duplicate, large table or  
Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission  
(if applicable, all necessary)  
a. ☐ Computer Readable Form (CRF)  
b. Specification Sequence Listing on  
i. ☐ CD-ROM or CD-R (2 copies); or  
ii. ☐ paper  
c. ☐ Statements verifying identity of above copies

**ACCOMPANYING APPLICATION PARTS**

9. ☐ Assignment Papers (cover sheet & documents(s))
10. ☐ 37 CFR 3.73(b) Statement ☒ Power of Attorney  
(when there is an assignee)
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure ☐ Copies of IDS Citations  
Statement (IDS)/PTO-1449
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
16. ☐ Nonpublication Request under 35 U.S.C. 122  
(b)(2)(B)(i) Applicant must attach form PTO/SB/35  
or its equivalent
17. ☐ Other \_\_\_\_\_

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No. \_\_\_\_\_

Prior application information Examiner \_\_\_\_\_ Group Art Unit \_\_\_\_\_

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

**19. CORRESPONDENCE ADDRESS**☐ Customer Number or Bar Code Label

(Insert Customer No. or Attach bar code label here)

or ☐ Correspondence address below

Name

STEVEN B. PHILLIPS  
MOORE & VAN ALLEN, PLLC  
2200 WEST MAIN STREET  
SUITE 800

Address

City

Durham

State

NC

Zip Code

27705

Country

US

Telephone

919-286-8000

Fax

919-416-8324

Name

Steven B. Phillips

Registration No. (Attorney/Agent)

37,911

Signature

Date

February 6, 2002

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**FEE TRANSMITTAL  
for FY 2002**

Patent fees are subject to annual revision.

**Complete if Known**

Application Number	Not Assigned
Filing Date	Concurrently Herewith
First Named Inventor	Hallenbeck, Peter D.
Examiner Name	Not Assigned
Group Art Unit	Not Assigned
Attorney Docket No.	013883-000001

TM Applicant claims small entity status. See 37 CFR 1.27

**TOTAL AMOUNT OF PAYMENT** (\$1,438.00)**METHOD OF PAYMENT (check all that apply)**
☒ Check ☐ Credit Card ☐ Money Order ☐ Other ☐ None
☒ Deposit Account:

Deposit Account Number 13-4365

Deposit Account Name

**The Commissioner is authorized to: (check all that apply)**☐ Charge fee(s) indicated below ☒ Credit any overpayments☒ Charge any additional fee(s) during the pendency of this application☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account**FEE CALCULATION****1. BASIC FILING FEE**

Large Entity	Fee Code	Fee (\$)	Small Entity	Fee Code	Fee (\$)	Fee Description	Fee Paid
	101	740	201	370		Utility filing fee	370.00
	106	330	206	165		Design filing fee	
	107	510	207	255		Plant filing fee	
	108	740	208	370		Reissue filing fee	
	114	160	214	80		Provisional filing fee	

**SUBTOTAL(1)** (\$370.00)**2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE**

Total Claims	Extra Claims	Fee from below	Fee Paid
64	-20**= 44 X	9	= 396
Independent 19	-3**= 16 X	42	= 672
Claims			= 1,068

Multiple Dependent

Large Entity	Fee Code	Fee (\$)	Small Entity	Fee Code	Fee (\$)	Fee Description
	103	18	203	9		Claims in excess of 20
	102	84	202	42		Independent claims in excess of 3
	104	280	204	140		Multiple dependent claims, if not paid
	109	84	209	42		** Reissue independent claims over original patent
	110	18	210	9		** Reissue claims in excess of 20 and over original patent

**SUBTOTAL(2)** (\$1,068)

\*\*or number previously paid, if greater, For Reissues, see above

**FEE CALCULATION (continued)****3. ADDITIONAL FEES**

Large Entity	Fee Code	Fee (\$)	Small Entity	Fee Code	Fee (\$)	Fee Description	Fee Paid
	105	130	205	65		Surcharge -- late filing fee or oath	
	127	50	227	25		Surcharge -- late provisional filing fee or cover sheet	
	139	130	139	130		Non-English specification	
	147	2,250	147	2,250		For filing a request for ex parte reexamination	
	112	920*	112	920*		Requesting publication of SIR prior to Examiner action	
	113	1,840*	113	1,840*		Requesting publication of SIR after Examiner action	
	115	110	215	55		Extension for reply within first month	
	116	400	216	200		Extension for reply within second month	
	117	920	217	460		Extension for reply within third month	
	118	1,440	218	720		Extension for reply within fourth month	
	128	1,960	228	980		Extension for reply within fifth month	
	119	320	219	160		Notice of Appeal	
	120	320	220	160		Filing a brief in support of an appeal	
	121	280	221	140		Request for oral hearing	
	138	1,510	138	1,510		Petition to institute a public use proceeding	
	140	110	240	55		Petition to revive - unavoidable	
	141	1,280	241	640		Petition to revive - unintentional	
	142	1,280	242	640		Utility issue fee (or reissue)	
	143	460	243	230		Design issue fee	
	144	620	244	310		Plant issue fee	
	122	130	122	130		Petitions to the Commissioner	
	123	50	123	50		Processing fee under 37 CFR 1 17(q)	
	126	180	126	180		Submission of Information Disclosure Stmt	
	581	40	581	40		Recording each patent assignment per property (times number of properties)	
	146	740	246	370		Filing a submission after final rejection (37 CFR § 1 129(a))	
	149	740	249	370		For each additional invention to be examined (37 CFR § 1 129(b))	
	179	740	279	370		Request for Continued Examination (RCE)	
	169	900	169	900		Request for expedited examination of a design application	

Other fee (specify)

\* Reduced by Basic Filing Fee Paid

**SUBTOTAL(3)**

(\$)

**SUBMITTED BY**Name (Print Type) Steven B Phillips  
(Attorney/Agent)

Registration No 37,911

**Complete (if applicable)**

Telephone

919-286-8000

Signature

Date

February 6, 2002

**WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.**

Burden Hour Statement. This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 200231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 200231